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ANNUAL AUDITED REPORT

FORM X-17A-5 PART III

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Washington DC

FACING PAGE

Information Required of Brokers and Dealers Pursuant to Section 17 of the Securities Exchange Act of 1934 and Rule 17a-5 Thereunder

REPORT FOR THE PERIOD BEGINNING	01/01/15	AND ENDING	12/31/15
	MM/DD/YY		MM/DD/YY
A. REGIST	TRANT IDENTIFICA	TION	
NAME OF BROKER-DEALER: Five 9 Securities,	LLC		OFFICIAL USE ONLY
ADDRESS OF PRINCIPAL PLACE OF BUSINES	SS: (Do not use P.O. Box	No.)	FIRM I.D. NO.
16400 Ventura Blvd., Suite 304			
	(No. and Street)		
Encino	CA		91436
(City)	(State)	(Zij	Code)
NAME AND TELEPHONE NUMBER OF PERSO Arthur E. Raitano	N TO CONTACT IN REC		PRT 93-1864
P + CCOIT			Area Code – Telephone Numbe
B. ACCOU	NTANT IDENTIFICA	TION	···
INDEPENDENT PUBLIC ACCOUNTANT whose Tuttle, Nathan Talmadge	opinion is contained in th	is Report*	
(Nam	e – if individual, state last, first,	middle name)	
1800 Rivercrest, Ste. 720	Sugar Land	TX	77478
(Address)	(City)	(State)	(Zip Code)
CHECK ONE: ☑ Certified Public Accountant			
☐ Public Accountant			
☐ Accountant not resident in United S	tates or any of its possessi	ons.	
FOI	R OFFICIAL USE ONL	.Y	

^{*}Claims for exemption from the requirement that the annual report be covered by the opinion of an independent public accountant must be supported by a statement of facts and circumstances relied on as the basis for the exemption. See Section 240.17a-5(e)(2)

OATH OR AFFIRMATION

I, Art	thur E. Raitano	, swear (or affirm) that, to the best of
my k	nowledge and belief the accompanying financial stat	ement and supporting schedules pertaining to the firm of
	9 Securities, LLC	as
of D	ecember 31 , 2	2015 , are true and correct. I further swear (or affirm) that
neith		officer or director has any proprietary interest in any account
	ified solely as that of a customer, except as follows:	proposition in the proposition of the proposition o
D14400.	inter totally as man of a dustomor, theopt as follows.	
	YANG Y. RHO Commission # 2018927	Con How
	Notary Public - California	Signature
	San Bernardino County	
	My Comm. Expires Apr 11, 2017	C.E.O. / C.F.O.
		Title
C	James of m	•
	Notary Public 3/28/2016	
	Notary Public 3/35/3018	
This 1	report ** contains (check all applicable boxes):	
	(a) Facing Page.	
Ø	(b) Statement of Financial Condition.	
	(c) Statement of Income (Loss).	•
₫,	, , ,	
™	(e) Statement of Changes in Stockholders' Equity	
	 (f) Statement of Changes in Liabilities Subordinat (g) Computation of Net Capital. 	ted to Claims of Creditors.
	· · · · · · · · · · · · · · · · · · ·	guirom onto Dunovant to Bulo 15-2-2
_ 	(i) Information Relating to the Possession or Cont	
		ation of the Computation of Net Capital Under Rule 15c3-1 and the
	Computation for Determination of	f the Reserve Requirements Under Exhibit A of Rule 15c3-3.
		udited Statements of Financial Condition with respect to methods of
	consolidation.	
	(l) An Oath or Affirmation.	
	(m) A copy of the SIPC Supplemental Report.	
		ound to exist or found to have existed since the date of the previous
_	audit.	
	(o) Management Statement regarding Compliance	with the Exemption Provision for SEC Rule 15c3-3.
	(p) Report of Independent Registered Public Accou	unting Firm regarding Rule 15c3-3 Exemption Report.

^{**}For conditions of confidential treatment of certain portions of this filing, see section 240.17a-5(e)(3).

Five 9 Securities, LLC

Financial Statements and Supplemental Schedules Required by the U.S. Securities and Exchange Commission

Including Independent Auditor's Report Thereon

For the Year-Ended December 31, 2015

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Nathan T. Tuttle, CPA

1800 Rivercrest, Suite 720 Sugar Land, Texas 77478

Phone: (713) 256-1084 Fax: (832) 426-5786

INDEPENDENT AUDITOR'S REPORT

To the Directors of Five 9 Securities, LLC 16400 Ventura Blvd., Suite 304 Encino, CA 91436

Report on the Financial Statements

I have audited the accompanying financial statements of Five 9 Securities, LLC (the "Company") which comprise the statement of financial condition as of December 31, 2015, and the related statements of operations and other comprehensive income, changes in stockholders' equity and cash flows for the year then ended that are filed pursuant to Rule 17a-5 under the Securities and Exchange Act of 1934, and the related notes to the financial statements and supplemental information.

Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditor's Responsibility

My responsibility is to express an opinion on these financial statements based on the audit. I conducted the audit in accordance with auditing standards of the Public Company Accounting Oversight Board (United States). Those standards require that we plan and perform the audit to obtain reasonable assurance that the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, I express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements. I believe that the audit evidence I have obtained is sufficient and appropriate to provide a basis for the audit opinion.

Opinion

In my opinion, the financial statements referred to above present fairly, in all material respects, the financial position of Five 9 Securities, LLC as of December 31, 2015, and the results of its operations and its cash flows for the year then ended in accordance with accounting principles generally accepted in the United States of America.

Report on Supplementary Information

The audit was conducted for the purpose of forming an opinion on the financial statements as a whole. The supplementary information contained in the supplemental schedules required by Rule 17a-5 under the Securities Exchange Act of 1934, including the Computation of Net Capital under Rule 15c-3, and information relating to Possession or Control Requirements Under 15c3-3, is presented for the purpose of additional analysis and is not a required part of the financial statements. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the financial statements.

The information has been subjected to the auditing procedures applied in the audit of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements or to the financial statements themselves, and other additional procedures to test the completeness and accuracy of the supplemental information presented. In forming my opinion on the supplemental information, I evaluated whether the supplemental information, in form and content, is presented in conformity with Rule 17a-5 of the Securities Exchange Act of 1934 and in accordance with auditing standards of the Public Company Accounting Oversight Board (United States). In my opinion, the information is fairly stated in all material respects in relation to the financial statements as a whole.

Houston, TX

February 27, 2016

Nathan T Tuttle, CPA

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Statement of Financial Condition

As of and for the Year-Ended December 31, 2015

	2015
Assets	
Current assets	
Cash	\$ 373,831
Prepaid expenses	4,87 9
Total current assets	378,710
Noncurrent assets	
Software	2,371
Total noncurrent assets	2,371
Other assets	
Goodwill	45,223
Total other assets	<u>45,223</u>
Total assets	426,304
Liabilities and member's equity	
Current liabilities	
Accrued commissions	\$ 213,303
Accounts payable	16,617
Accrued expenses	<u>21,910</u>
Total liabilities	\$251,830
Member's equity	<u>\$ 174,474</u>
Total liabilities and members equity	\$ 426,304

Statement of Operations

As of and for the Year-Ended December 31, 2015

		2015
Revenues		
Financial advisory fees	\$	30,000
Success fees		269,701
Other revenue		14,696
Total revenue		314,397
Cost of revenues		265,038
Gross profit		49,359
Operating expenses		
Professional services		25,913
Travel, meals and entertainment		339
Supplies		1,532
Information technology		17,041
Telephone		659
Licenses and fees		11,110
Depreciation		333
Bank charges	_	103
Total operating expenses		57,030
Net income	<u>\$</u>	(7,67 <u>1)</u>

Statement of Cash Flows

As of and for the Year-Ended December 31, 2015

	2015
Net income Adjustments to reconcile net income to net cash provided by (used in) operating activities: Prepaid expenses Accounts payable	(\$7,671) (1,839) 14,918
Accrued expenses	231,108
Net cash provided by (used in) operating activities	236,516
Investing activities Computers, furniture and equipment Depreciation Net cash provided by (used in) investing activities	(1705) 333 (1372)
Financing activities	400.000
Contributions from members	108,000
Net cash provided by financing activities	108,000
Net increase (decrease) in cash and equivalents	343,144
Cash and equivalents at beginning of period Cash and equivalents at end of period	30,687 \$ 373,831
ement with a distribution of entering at least and	

Statement of Changes in Ownership Equity

As of and for the Year-Ended December 31, 2015

	<u>2015</u>
Beginning member's equity	\$ 28,922
Net income (loss)	(7,671)
Goodwill	45,223
Paid in capital	108,000
Ending member's equity	<u>\$ 174,474</u>

Five 9 Securities, LLC

Notes to Financial Statements

As of and for the Year-Ended December 31, 2015

NOTE 1 - General

On December 8, 2015, BLP Advisors, LLC, was acquired by Five 9 Holdings, LLC, a Delaware company. BLP Advisors, LLC filed a Certificate of Amendment with the State of Delaware on December 11, 2015, changing the name of BLP Advisors, LLC to Five 9 Securities, LLC ("the Company"). The continuing membership application filed by BLP Advisors, LLC pursuant to NASD Rule 1017, with regards to the change of ownership, was granted February 9, 2016.

The Company engages in Private Placements of Securities and Merger & Acquisition Advisory Services. The Company has offices located at 135 East 57th Street 24th Floor, New York, NY 10022, and it maintains its principal office at 16400 Ventura Blvd. Suite 304, Encino CA 91436.

NOTE 2 - Summary of Significant Accounting Policies

A. Basis of Accounting

The accompanying financial statements have been prepared on the accrual basis of accounting. Under that basis, revenues are recognized when earned, and expenses are recognized when the obligation is incurred.

B. Estimates and Assumptions

Management uses estimates and assumptions in preparing financial statements. Those estimates and assumptions affect the reported amounts of assets and liabilities, the disclosure of contingent assets and liabilities, and the reported revenues and expenses.

C. Accounts Receivable

Accounts receivable are reported at net realizable value. Net realizable value is equal to the gross amount of accounts receivable less an estimated allowance for un-collectible accounts. Historically, the Company has not experienced material write-offs, and therefore, has not established an allowance account for uncollectable receivables or bad debt.

D. Depreciation

The Company's assets are recorded at historical cost and depreciated for book purposes over the following useful lives:

	<u>Years</u>
Computer Equipment and Software	3-5
Furniture and Fixtures	7

Depreciation expense for the 2015 year end was \$333, which fully depreciated all furniture and equipment.

E. Cash and Cash Equivalents

For purposes of the statement of cash flows, the Company considers all short-term debt securities purchased with maturity of three months of less to be cash equivalents. At December 31, 2015, the Company had no cash equivalents.

F. Advertising

The Company follows the policy of charging the costs of advertising to expense as they are incurred. Advertising expense was \$0 for the year ended December 31, 2015.

Five 9 Securities, LLC

Notes to Financial Statements (Continued)

As of and for the Year-Ended December 31, 2015

NOTE 3 – Income Tax Matters

The Company is a Limited Liability Company (LLC), of which 100 % of the Membership interest is owned by Five 9 Holdings, LLC. As an LLC the Company is not federally taxable entity, however, it is still liable for certain state taxes.

The Company's year-end financial statements for the period covered hereby revealed no uncertain tax positions that would have a material effect on the financial statements. The evaluation on the Company's tax returns is subject to possible examination by taxing authorities. For federal and state purposes the tax returns essentially remain open for possible examination for a period of three years after the respective return's filing deadlines.

NOTE 4 - Concentration of Credit Risk

Cash includes petty cash, if any, and deposits held in commercial bank accounts. Cash in these accounts at times could exceed the insured limit set by the Federal Deposit Insurance Corporation ("FDIC"). The Company's management believes this risk is minimal.

NOTE 5 - Subsequent Events

Subsequent events have been evaluated through February 27, 2016, which is the date the financial statements were available to be issued, and no material events occurred that would require the Company to change its financial statements or these footnotes.

Five 9 Securities, LLC **Supplementary Schedules Pursuant to SEA Rule 17a-5** Of the Securities and Exchange Act of 1934 As of and for the Year-Ended December 31, 2015

Com	putation	of Net	Capital

Total Stockholder's Equity	\$ 174,474
Non-Allowable Assets	52,473
Total Securities Charges	
Net Allowable Capital	<u>\$ 122,001</u>
Computation of Net Capital Requirement	
Minimum Dollar Net Capital Required as a Percentage of Aggregate Indebtedness	\$ 16,797
Minimum Dollar Net Capital Requirement of Reporting Broker/Dealer	\$ 5,000
Net Capital Requirement	\$ 16,797
Excess Net Capital	\$ 105,204
Computation of Aggregate Indebtedness	
Total Aggregate Indebtedness	\$ 251,830
Percentage of Aggregate Indebtedness to Net Capital	206.42%
	2001.200
Computation of Reconciliation of Net Capital - Amended FOCUS IIA to Audited Report	
Net Capital Computed and Reported on Amended FOCUS IIA as of December 31, 2015	\$ 122,001
Adjustments	
Increase (Decrease) in Equity	-
(Increase) Decrease in non-allowable assets	-
(Increase) Decrease in Securities Charges	-
Net Capital per Audit	\$ 122,001
Reconciled Difference	•
Computation of Reconciliation of Net Capital - Original FOCUS IIA to Amended FOCUS IIA	
Net Capital Computed and Reported on Original FOCUS IIA filing as of December 31, 2015 Adjustments	\$ 139,001
Increase (Decrease) in Equity	(17,000)
(Increase) Decrease in non-allowable assets	(17,000)
(Increase) Decrease in Securities Charges	
Net Capital Computed and Reported on Amended FOCUS IIA filing as of	\$ 122.001
Reconciled Difference	-

Five 9 Securities, LLC Supplementary Schedules Pursuant to SEA Rule 17a-5 Of the Securities and Exchange Act of 1934

As of and for the Year-Ended December 31, 2015

Statement Related to Uniform Net Capital Rule

The Company is a member of the FINRA and is subject to the SEC Uniform Net Capital Rule 15c3-1. This rule requires the maintenance of minimum net capital and requires that the ratio of aggregate indebtedness to net capital, both as defined, shall not exceed 1500% (15 to 1), or, during its first year of operations, 800% (8:1). Net capital and the related net capital ratio may fluctuate on a daily basis. At December 31, 2015, the Company had net capital of \$122,001 which was \$105,204 in excess of its required net capital of \$16,797. The Company's net capital ratio was 206.42%. The Company has elected to use the basic computation method, as is permitted by the rule, which requires that the Company maintain minimum Net Capital pursuant to a fixed dollar amount or 6-2/3% percent of total aggregate indebtedness, as defined, whichever is greater, and does not, therefore, calculate its net capital requirement under the alternative reserve requirement method.

Statement Related to Exemptive Provision (Possession and Control)

The Company does not have possession or control of customer's funds or securities. There were no material inadequacies in the procedures followed in adhering to the exemptive provisions of SEA Rule 15c3-3(k)(2)(i); Special Account for the Exclusive Benefit of customers maintained.

Statement Related to Material Inadequacies

This audit did not disclose any material inadequacies since the previous audit of the financial statements contained within the audit report of the Computation of Minimum Net Capital Requirement as reported in the Supplemental Schedules contained within the audit report or the filed Financial and Operational Combined Uniform Single Report filed pursuant to SEA Rule 15c3-1. The firm is exempt from 15c3-3; it does not maintain customer funds or securities and, therefore, does not maintain customer funds to segregate nor does it maintain separate accounts for customers.

Statement Related to SIPC Reconciliation

SEA Rule 17a-5(e)(4) requires a registered broker-dealer to file a supplemental report which includes procedures related to the broker-dealers SIPC annual general assessment reconciliation or exclusion from membership forms. In circumstances where the broker-dealer reports \$500,000 or less in gross revenue they are not required to file the supplemental SIPC report. The Company is exempt from filing the supplemental report under SEA Rule 17a-5(e)(4) because it is reporting less than \$500,000 in gross revenue.

Five 9 Securities, LLC Supplementary Schedules Pursuant to SEA Rule 17a-5 Of the Securities and Exchange Act of 1934

As of and for the year-ended December 31, 2015

Exemption Report Pursuant to SEA Rule 17a-5(d)(1)(i)(B)(2)

Five 9 Securities, LLC 16400 Ventura Blvd., Suite 304 Encino, Ca 91436 415-793-1864

February 27, 2016

Nathan Tuttle, CPA 1800 Rivercrest Dr. , Ste. 720 Sugar Land, Texas 77478

Re: Exemption Report Pursuant to SEA Rule 17a-5(d)(1)(i)(B)(2)

To the best knowledge and belief, Five 9, Securities, LLC,

1-Claims exemption 15c3-3(k)(2)(i) from 15c3-3; (Possession and Control)

2-We have met the identified exemption from January 1, 2015 through December 31, 2015, without exception, unless, noted in number 3 below;

3-We have no exceptions to report this fiscal year.

Arthur E. Raitano

CEO/CFO

Five 9, Securities, LLC

Nathan T. Tuttle, CPA

1800 Rivercrest, Suite 720 Sugar Land, Texas 77478

Phone: (713) 256-1084

Fax: (832) 426-5786

EXEMPTION REVIEW REPORT

February 27, 2016

Arthur E. Raitano Five 9 Securities, LLC 16400 Ventura Blvd., Suite 304 Encino, CA 91436

Dear Arthur E. Raitano:

We have reviewed management's statements, included in the accompanying Representation Letter of Exemptions, in which Five 9 Securities, LLC identified the following provisions of 17 C.F.R. § 15c3-3(k) under which Five 9 Securities, LLC claimed an exemption from 17 C.F.R. § 240.15c3-3. Five 9 Securities, LLC stated that it has met the exemption provision, 15c3-3(k)(2)(i) from 15c3-3, throughout the most recent fiscal year without exception. Five 9 Securities, LLC's management is responsible for compliance with the exemption provisions and its statements. Our review was conducted in accordance with the standards of the Public Company Accounting Oversight Board (United States) and, accordingly, included inquiries and other required procedures to obtain evidence about Five 9 Securities, LLC's compliance with the exemption provisions. A review is substantially less in scope than an examination, the objective of which is the expression of an opinion on management's statements. Accordingly, we do not express such an opinion. Based on my review, I am not aware of any material modifications that should be made to management's statements referred to above for them to be fairly stated, in all material respects, based on the provisions set forth in Rule 15c3-3 under the Securities Exchange Act of 1934.

Houston, Texas February 27, 2016 de